

CNS AUDIT CHECKLIST FOR E S O FUNCTIONS

NOTES:

1. This checklist will be used for Approval/ Renewal of Aeronautical Telecommunications Service and Radio Navigation Service Providers (Electronic Services Organisations [ESO's]).
2. Part 171 of the South African Civil Aviation Regulations requires that persons or organisations installing, maintaining, repairing, modifying or calibrating equipment for the use of aeronautical telecommunication services used for air traffic services; or equipment for the use of aeronautical radio-navigation service providers used for air navigation obtain an electronic services organisation approval with the appropriate rating issued by the Director of Civil Aviation under this Part.
3. The CNS personnel, appointed by the Director of Civil Aviation as Authorised Officers in terms of Section 5(4)(a) of the Aviation Act of 1962 (Act 74/62), will use this checklist for the purpose of determining the state of compliance with Part 171 of the South African Civil Aviation Regulations by applicants of the electronic services organisation approvals.

Applicant [eg. Air Traffic and Navigation Services (ATNS)]					
Unit [eg. Cape Town Int. Airport]					
Rating	Category B		171.04	Category F	
Certificate of Approval number					
Applicant/representative's contact details					
Name					
Position					
Address					
Telephone					
Cell					
Fax					
E-mail					
CAA contact person (Audit Team leader)					
Name					
Position					
Address					
Telephone					
Cell					
Fax					
E-mail					
Participating auditors					
Name					
Position					
Name					
Position					
Audit period					
Opening meeting date, time and venue					
Closing meeting date, time and venue					

Scope of the audit/inspection				
The audit will endeavour to cover all aspects of the areas listed below to determine the safe operation of the organisation	YES		NO	
AND / OR				
The audit will not necessarily check all aspects of the areas listed below but will be based on samples, selected to form a meaningful cross section of the operation as a whole	YES		NO	
Other				
Language for audit conduct	English			
Language for reporting	English			

AUDIT AREAS						
1	Manual of procedure (171.02.01)			YES	NO	Not applicable
	1.1	Has the applicant provided the Director of Civil Aviation with its manual of procedure?				
	1.2	Does the applicant's manual of procedure comply with the requirements prescribed in the regulation?				
	1.3	Does the applicant's manual of procedure contain the information as prescribed in Document SA-CATS-ESO?				
2	Quality Assurance system (171.02.2)					
	1.1	Has the applicant established a safety management system for the control and supervision of the management of electronic equipment, covered by the applicant?				
	1.2	Is the applicant's safety management system in accordance with the standards as prescribed in Document SA-CATS-ESO?				
3	Accommodation and facilities (171.02.3)					
	1.1	Has the applicant ensured that it has adequate facilities for all services to be performed by electronic services organisation?				
	1.2	Has the applicant ensured that the working environment is appropriate for each task carried out and, in particular, complies with any special requirements specified in the applicable equipment specification?				
	1.3	Has the applicant ensured that appropriate office accommodation is provided for the administration of services performed and, in particular, for the administration of the organization's safety, planning and technical records?				
	1.4	Has the applicant ensured that storage facilities are provided for parts, equipment, tools and materials required by the organization?				
4	Human resources (171.02.4)					
	1.1	Has the applicant engaged, employed or contracted a senior person identified as the accountable manager and compliance officer of the organisation concerned, to whom contractual authority has been granted to ensure that all activities undertaken by the organization are carried out in accordance with the requirement prescribed in the regulation?				

AUDIT AREAS

1.2	Has the applicant engaged, employed or contracted a competent person who is responsible for safety management, and who has direct access to the accountable manager and compliance officer on matters affecting aviation safety?			
1.3	Has the applicant employed or contracted adequate personnel to plan, supervise, inspect, and certify all services undertaken by such organization?			
1.4	Has the applicant established a procedure for initially assessing the competence of the personnel involved in planning, performing, supervising, inspecting or certifying the maintenance undertaken by the organisation?			
1.5	Has the applicant established a procedure for maintaining the competence of the personnel involved in planning, performing, supervising, inspecting or certifying the maintenance undertaken by the organisation?			
1.6	Has the applicant ensured that the personnel in all technical departments are of sufficient numbers and experience to be able to discharge their allocated responsibilities?			
1.7	Has the applicant ensured that the personnel in all technical departments have sufficient experience to be able to discharge their allocated responsibilities?			
1.8	Has the applicant ensured that the personnel in all technical departments have been given appropriate written authority to be able to discharge their allocated responsibilities?			
1.9	Has the applicant ensured that there is full and efficient coordination between and within departments of the organisation?			
5	Equipment, tools and material (171.02.5)			
1.1	Does the applicant have equipment, tools and material necessary to perform adequately the approved scope of work as required by the applicable equipment specification and its manual of procedure?			
1.2	Has the applicant established a procedure to control and, where necessary, calibrate test equipment at a frequency and to a standard to ensure serviceability, accuracy and traceability?			
6	Duties of holder of approval (171.03.13)			
1.1	Does the applicant have at least one complete and current copy of its manual of procedure referred in regulation 171.03.1, at each workplace specified in the manual of procedure?			
1.2	Does the applicant comply with all procedures detailed in the manual of procedure?			
1.3	Has the applicant made each applicable part of the manual of procedure available to the personnel who require those parts to carry out their duties?			
1.4	Has the applicant ensured that all persons who are directly in charge of any maintenance, inspection or commissioning performed on behalf of it are appropriately authorised and rated?			
7	Records of authorised personnel (171.02.14)			
1.1	Does the applicant maintain a record of all authorised personnel which includes particulars of the scope of their authorisation?			
1.2	Has the applicant provided its authorised personnel with evidence of the scope of their authorisations?			
1.3	Has the applicant ensured that a record of all authorised personnel is retained for the period of five years from the date on which the personnel member ceases to be an employee?			
7	Service records (171.02.15)			
1.1	Has the applicant kept adequate records of all services performed by the organisation?			

AUDIT AREAS				
1.2	Does the name of each person who performed the work indicated on the records?			
1.3	Does the name of each person who inspected the work indicated on the records?			
1.4	Has the applicant ensured that the records of all services performed by the organisation are retained for at least five years from the date on which the electronic equipment or electronic component, to which the work relates, was released to service?			
1.5	Has the applicant provided a copy of each certificate released to service to the operator of the electronic equipment, together with a copy of any specific equipment specification used for the repairs or modifications carried out?			
1.6	Has the applicant established a procedure for recording maintenance details and for the retention of such maintenance records			
5	Equipment specification (171.02.16)			
1.1	Has the applicant kept all equipment specification and documentation necessary to support the services to be performed by the organisation			
1.2	Has the applicant made the equipment specification and documentation available to all personnel who need access to such data to discharge their allocated responsibilities?			

The Authorised Officer declares hereby that the particulars provided in this application are true in every respect:		
SIGNATURE OF AUTHORISED OFFICER / CNS INSPECTOR	NAME IN BLOCK LETTERS	DATE
SIGNATURE OF MANAGER: CNS	NAME IN BLOCK LETTERS	DATE
SIGNATURE OF SENIOR MANAGER: ANS	NAME IN BLOCK LETTERS	DATE